Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission:	4/10/2009
2. Agency:	Department of Energy
3. Bureau:	Environmental And Other Defense Activities
4. Name of this Capital Asset:	CBFO (Carlsbad Field Office) WIPP (Waste Isolation Pilot Plant) Records Archive (WRA)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	019-10-01-15-01-3326-00
6. What kind of investment will this be in FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 should not select O&M. These investments should indicate their current status.)	Operations and Maintenance
7. What was the first budget year this investment was submitted to OMB?	FY2007

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

Begun w/Congressional Earmark Funding for FY05-08; FY09 is the first WRA OMB funding request. The Carlsbad Field Office (CBFO) has a 115-year mission to accept, store, dispose, & monitor all defense-generated transuranic (TRU) waste. The custodial responsibility for records related to this waste, including its creation, storage, & disposition, has been transferred to the CBFO. Records management (RM) is required by USC 44 & CFR 36. Records of waste shipped to WIPP for disposal had been maintained at the generator sites. As these sites close, chain of custody & data integrity are jeopardized. The National Archives & Records Administration (NARA) is responsible for controlling government records, which it categorizes as temporary or permanent. Permanent records must be surrendered to NARA within 25 yrs of their creation; temporary records (bulk of the TRU waste collection) remain with the organization creating them or a designated custodian. Some TRU-related records are not scheduled for disposition, so NARA won't accept them. This investment will: accept unscheduled records; allow public web-based access to non-sensitive records related to WIPP waste; allow controlled access to sensitive information; protect chain of custody (making records defensible for researchers, historians, & in litigation & FOIA requests); & allow the government to respond positively to growing public interest in TRU waste-related records. DOE has ~ three million boxes of temporary long-term records (some of which have schedules of hundreds of years), ~125,000 of them related to WIPP. Storage at multiple sites threatens control & preservation of the data. The WRA uses the latest web technology to facilitate public access to records. Continuing to manage paper records in a NARA-regulated Federal Records Center is more costly & less efficient, w/no assurance that related records will be kept together. WRA's RM technology reduces costs & makes information more accessible while maintaining data integrity/privacy. Agreements with State/federal groups are planned to operate WRA as a solution for other long-term temporary records across the government. This investment aligns w/EM EA BRM 404141, Info. & Tech. Mgmt., & supports EM program goal 4.2, Managing the Legacy. PM is Level II certified by PMI. The new contract combines 3 disparate, fiercely independent records programs w/uniform policies/procedures & hard/software tools to bring collaboration & unity to the site records program.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	8/21/2008
10. Did the Project Manager review this Exhibit?	Yes
11. Contact information of Program/Project Manager?	
Name	Basabilvazo, George
Phone Number	575-234-8103
Email	George.Basabilvazo@wipp.ws
a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager?	Waiver Issued
b. When was the Program/Project Manager Assigned?	10/1/2007
c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification?	8/14/2009

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? — Yes

    a. Will this investment include electronic assets (including computers)? — Yes

    b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) — No

        1. If "yes," is an ESPC or UESC being used to help fund this investment?

        2. If "yes," will this investment meet sustainable design principles?

        3. If "yes," is it designed to be 30% more energy efficient than relevant code?

13. Does this investment directly support one of the PMA initiatives? — Yes

    If "yes," check all that apply: — Expanded E-Government

    a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?) — The CBFO WIPP Records Archive (WRA) will: accept unscheduled records; allow public web-based access to non-sensitive records related to WIPP waste & controlled access to sensitive information; protect chain of custody (making records defensible for researchers, historians, & in litigation and FOIA requests); & allow the government to respond positively to growing public interest in TRU waste-related records. It supports the PMA thru more robust & cost effective electronic services to the public.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) — No

    a. If "yes," does this investment address a weakness found during a PART review? — No

    b. If "yes," what is the name of the PARTed program?

    c. If "yes," what rating did the PART receive?

15. Is this investment for information technology? — Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) — Level 2

17. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance) — (1) Project manager has been validated as qualified for this investment

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2008 agency high risk report (per OMB Memorandum M-05-23) — No

19. Is this a financial management system? — No

    a. If "yes," does this investment address a FFMIA compliance area?

        1. If "yes," which compliance area:

        2. If "no," what does it address?

    b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

20. What is the percentage breakout for the total FY2010 funding request for the following? (This should total 100%)

Hardware	0
Software	0
Services	82

Other	18

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? — Yes

22. Contact information of individual responsible for privacy related questions:

Name	Nelson, Roger
Phone Number	575-234-7213
Title	Public Affairs Officer
E-mail	Roger.Nelson@wipp.ws

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? — Yes

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas? — No

Section B: Summary of Spending (All Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:	0.284	0	0	0	0	0	0	0	0.284
Acquisition:	1.224	0.5	0	0	0	0	0	0	1.724
Subtotal Planning & Acquisition:	1.508	0.5	0	0	0	0	0	0	2.008
Operations & Maintenance:	5.426	2.606	3.5	3.5	3.5	3.5	3.5	0	25.532
TOTAL:	6.934	3.106	3.5	3.5	3.5	3.5	3.5	0	27.540
Government FTE Costs should not be included in the amounts provided above.								
Government FTE Costs	0.09	0.04	0.033	0.04	0.04	0.04	0.04	0	0.323
Number of FTE represented by Costs:	1	1	1	1	1	1	1	0	7

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's? — No

    a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2009 President's budget request, briefly explain those changes:

This project began with Congressional Earmark Funding for FY05-08. FY09 is the first OMB funding request. This investment 300 covers the startup with Congressional Earmark Funding through FY2013, PY1 and earlier, PY, CY, BY, BY+1, BY+2, BY+3, and BY+4. The investment is DME in PY2007 and through most of CY2008. The archive will be fully operational and move to steady state in BY2009.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Exhibit 300: CBFO (Carlsbad Field Office) WIPP (Waste Isolation Pilot Plant) Records Archive (WRA) (Revision 5)

Contracts/Task Orders Table: * Costs in millions

Contract or Task Order Number	Type of Contract/ Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order ($M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer FAC-C or DAWIA Certification Level (Level 1, 2, 3, N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition? (Y/N)
DE-AC29001AL66444	Part of feasibility assessment - Firm Fixed Price/WIPP1-PO403610	Yes	11/16/2005	11/16/2005	11/30/2005	0.536	Yes	Yes	Yes	NA	Yes	Yes	Art Welton	575-234-7461 / art.welton@wipp.ws	Level 2	
DE-AC29001AL66444	Firm Fixed Price/WIPP1-PO405728	Yes	7/5/2006	7/5/2006	10/30/2008	9.504	Yes	Yes	Yes	NA	Yes	Yes	Art Welton	575-234-7461 / art.welton@wipp.ws	Level 2	
DE-AC29001AL66444	Firm Fixed Price/WIPP1-MTO408969-1	Yes	11/1/2008	11/1/2008	10/30/2013	17.5	No	Yes	Yes	NA	Yes	Yes	Art Welton	575-234-7461 / art.welton@wipp.ws	Level 2	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. Do the contracts ensure Section 508 compliance?	Yes
a. Explain why not or how this is being done?	The contract requires the development, procurement, maintenance or use of electronic and information technology be accessible to federal employees, as well as the public, with disabilities. The systems are monitored and tested to ensure compliance.
4. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements?	Yes
a. If "yes," what is the date?	5/27/2008
1. Is it Current?	Yes
b. If "no," will an acquisition plan be developed?	Yes
1. If "no," briefly explain why:	

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond the next President's Budget.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Customer Results	Timeliness and Responsiveness	Response Time	Review records received from TRU Waste Generator Sites and identify, process, and protect all sensitive, confidential, and Pii information.	98% of boxes reviewed for sensitive information.	100%	Actual 100%
2007	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Mission and Business Results	Information and Technology Management	Record Retention	Identify percentage of TRU related records and cross-reference to NARA approved RIDS.	Identify 98%	Identify 100%.	Actual 100% Identified.
2007	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Processes and Activities	Management and Innovation	Innovation and Improvement	Identify percentage of unscheduled records received and review for inclusion in existing schedules; submit new schedules as necessary.	98%	100%	Actual 100%
2007	GOAL 4.2 Managing the Legacy Manage	Technology	Information and Data	Data Reliability and Quality	Identify percentage of boxes scanned	98% of boxes received	100% of boxes received	Actual 100%

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	the Department s post-closure responsibilities and ensure the future protection of human health and the environment.				and converted to digital images			
2008	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percentage of quality images available on web site	98%	100%	Actual 100%
2008	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Mission and Business Results	Information and Technology Management	Record Retention	Identify percentage of TRU related records and cross-reference to NARA approved RIDS.	Capture 98% of TRU related records received	Capture 100%	Actual 100%
2008	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Processes and Activities	Security and Privacy	Privacy	Identify and protect sensitive information in records received from sites.	Identify and redact 98% of sensitive information identified in records repository database.	100%	Actual 100%
2008	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Technology	Reliability and Availability	Availability	Create web site for controlled public access to WIPP-related records.	Preserve 98% of e-records in original format.	Preserve 100% of e-records in original format.	Actual 100%
2009	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percentage of quality images delivered in response to requests.	98%	100%	Reportable in 4Qtr FY09 - 50% complete through 2Qtr FY09
2009	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Mission and Business Results	Planning and Resource Allocation	Strategic Planning	Percentage processed of boxes received.	98%	100%	Measured monthly, reported annually at end of FY09 - 50% complete through 2Qtr FY09
2009	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Processes and Activities	Management and Innovation	Innovation and Improvement	Combination of active and inactive records activities into a single approved facility.	98%	100%	100% Complete

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Processes and Activities	Security and Privacy	Security				
2009	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of non-sensitive images provided in response to request.	98% of non-sensitive images available within 60 days of arrival at WRA	100% of non-sensitive images available within 60 days of arrival at WRA	Reportable 4Qtr FY09 - 50% complete through 2Qtr 2009
2010	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percentage of quality images delivered in response to requests.	98%	100%	Reportable in 4Qtr FY10
2010	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Mission and Business Results	Planning and Resource Allocation	Strategic Planning	Percentage processed of boxes received.	98%	100% of non-sensitive images available within 60 days of arrival at WRA	Measured monthly, reported annualy at the end of FY10
2010	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Processes and Activities	Security and Privacy	Security				
2010	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of non-sensitive images provided in response to request.	98% of non-sensitive images available within 60 days of arrival at WRA	100% of non-sensitive images available within 60 days of arrival at WRA	Reportable in 4Qtr FY10
2011	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percentage of quality images delivered in response to requests.	98%	100%	Reportable in 4Qtr FY11
2011	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection	Mission and Business Results	Planning and Resource Allocation	Strategic Planning	Percentage processed of boxes received.	98%	100% of non-sensitive images available within 60 days of arrival at WRA	Measured monthly, reported annualy at the end of FY11

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	of human health and the environment.							
2011	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Processes and Activities	Security and Privacy	Security				
2011	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of non-sensitive images provided in response to request.	98% of non-sensitive images available within 60 days of arrival at WRA	100% of non-sensitive images available within 60 days of arrival at WRA	Reportable in 4Qtr FY11
2012	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percentage of quality images delivered in response to requests.	98%	100%	Reportable in 4Qtr FY12
2012	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Mission and Business Results	Planning and Resource Allocation	Strategic Planning	Percentage processed of boxes received.	98%	100% of non-sensitive images available within 60 days of arrival at WRA	Measured monthly, reported annually at the end of FY12
2012	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Processes and Activities	Security and Privacy	Security				
2012	GOAL 4.2 Managing the Legacy Manage the Department s post-closure responsibilities and ensure the future protection of human health and the environment.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of non-sensitive images provided in response to request.	98% of non-sensitive images available within 60 days of arrival at WRA	100% of non-sensitive images available within 60 days of arrival at WRA	Reportable in 4Qtr FY12

Section E: Security and Privacy (IT Capital Assets only)

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and

Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment?:

    a. If "yes," provide the "Percentage IT Security" for the budget year:

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment?

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)

4. Operational Systems - Security Table:							
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed, using NIST 800-37? (Y/N)	Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, Other, N/A)	Date Completed: Security Control Testing	Date the contingency plan tested
WIPP Records Archive							

5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG?

    a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process?

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

    a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

Audit teams are staffed with certified contract audit personnel led by a certified federal QA team leader. These audits are documented in reports detailing the conditions that were present when the audit was executed. Nonconforming conditions will be documented using a corrective action report (CAR) and will require a corrective action plan (CAP) to fix any problems. The QA process tracks CAP schedules to ensure that the agreed-upon remedies are put in place when required. If CAPs are not executed as scheduled, CBFO senior staff will be brought in to assist with resolution. Contractor security procedures and performance are surveyed annually by the DOE Carlsbad Field Office and independently assessed by the Office of Independent Oversight (OIO) and the DOE Inspector General.

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
WIPP Records Archive- This system is reported to	No	No	PIAs will be completed for the WRA as privacy	No	The anticipated records are common privacy

8. Planning & Operational Systems - Privacy Table:

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
FISMA as part of the CBFO General Support System (GSS) accreditation boundary			records are received, processed, and archived. Records containing Pii are anticipated, but have not been received. Until such records are received and categorized, it is impossible to determine to which schedules of records they pertain.		records for which notices already exist, such as medical, training, and employment. Records that do not fit the established notices will have a notice submitted as they are identified.

Details for Text Options:

Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.

Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.

Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

Section F: Enterprise Architecture (EA) (IT Capital Assets only)

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?   Yes

    a. If "no," please explain why?

2. Is this investment included in the agency's EA Transition Strategy?   Yes

    a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.   CBFO Waste Isolation Pilot Plant (WIPP) Records Archive (WRA)

    b. If "no," please explain why?

3. Is this investment identified in a completed and approved segment architecture?   No

    a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to http://www.egov.gov.   345-000

4. Service Component Reference Model (SRM) Table:

Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Classification	Defines the set of capabilities that support the categorization of documents	Digital Asset Services	Document Management	Classification			Internal	10
Document Imaging and OCR	Defines a set of capabilities that support document management.	Digital Asset Services	Document Management	Document Imaging and OCR			Internal	5
Indexing	Defines the set of capabilities that support the rapid retrieval of documents through a structured	Digital Asset Services	Document Management	Indexing			Internal	35

4. Service Component Reference Model (SRM) Table:
Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	numbering construct							
Library / Storage	Defines the set of capabilities that support document and data warehousing and archiving	Digital Asset Services	Document Management	Library / Storage			Internal	30
Document Classification	Defines the set of capabilities that support the categorization of documents and artifacts, both electronic and physical	Digital Asset Services	Records Management	Document Classification			Internal	15
Document Retirement	Defines the set of capabilities that support the termination or cancellation of documents and artifacts used by an organization and its stakeholders	Digital Asset Services	Records Management	Document Retirement			Internal	5

a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) Table:
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Document Imaging and OCR	Component Framework	Business Logic	Platform Dependent Technologies	
Library / Storage	Component Framework	Data Management	Database Connectivity	
	Component Framework	Security		
	Component Framework	Security		
	Component Framework	Security		
Document Classification	Service Access and Delivery	Access Channels	Web Browser	
Indexing	Service Access and Delivery	Access Channels	Web Browser	
Document Retirement	Service Access and Delivery	Access Channels	Web Browser	
Document Imaging and OCR	Service Interface and Integration	Interface	Service Description / Interface	
Indexing	Service Interface and Integration	Interface	Service Description / Interface	
Document Classification	Service Interface and Integration	Interface	Service Description / Interface	
Document Retirement	Service Interface and Integration	Interface	Service Description / Interface	
Classification	Service Interface and Integration	Interface	Service Description / Interface	
Library / Storage	Service Interface and Integration	Interface	Service Description / Interface	

5. Technical Reference Model (TRM) Table:
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Document Imaging and OCR	Service Interface and Integration	Interoperability	Data Format / Classification	
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	
Document Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Indexing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Indexing	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Document Retirement	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Library / Storage	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Classification	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Document Classification	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Document Imaging and OCR	Service Platform and Infrastructure	Support Platforms	Dependent Platform	

a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

6. Will the application leverage existing components and/or applications across the Government (i.e., USA.gov, Pay.Gov, etc)?   No

a. If "yes," please describe.

Exhibit 300: Part III: For "Operation and Maintenance" investments ONLY (Steady State)

Section A: Risk Management (All Capital Assets)

Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan?   Yes

   a. If "yes," what is the date of the plan?   8/1/2008

   b. Has the Risk Management Plan been significantly   No
changed since last year's submission to OMB?

   c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?

   a. If "yes," what is the planned completion date?

   b. If "no," what is the strategy for managing the risks?

Section B: Cost and Schedule Performance (All Capital Assets)

1. Was an operational analysis conducted?   Yes

   a. If "yes," provide the date the analysis was completed.   6/25/2008

   b. If "yes," what were the results?

In June 2008, CBFO WIPP WRA conducted an operational analysis (OA) to examine the historical and current performance being achieved by the investment, the suitability of continuing the investment, and the investigation of alternative methods of achieving the same investment results. Upon review, it was determined by EM management that the WIPP should continue with the planned approach for implementing the records management system. Investment performance was analyzed in four areas: customer results; business/strategic results; financial performance; and innovation.

Customer Results focused on whether the investment was fully meeting the customers' performance needs and whether the costs associated with providing the service at that performance level were as low, to the customer, as they could be. The OA focused on whether the investment delivered the goods/services that it intended to deliver to the satisfaction of the customer.

Strategic/Business Results provided a measure of how well the investment was performing and meeting the business needs, in terms of its alignment with the enterprise architecture, and whether it was contributing to the achievement of the organization's current strategic goals. Based on the OA, strategic and business results continue to be met. The system has allowed records pertaining to the waste storage at WIPP to be located in the same geographic area as the WIPP, making access to the information easier and reducing the amount of time and travel to conduct research and verify compliance with regulations.

Financial Performance analysis evaluated the overall cost effectiveness of the investment. This included operating within an acceptable range of cost performance measures and conducting a periodic review to determine if the investment's performance was cost effective during the period of operation. It was determined that the investment continues to meet cost goals for its approved milestones.

Innovation analysis provided an opportunity to demonstrate that the investment managers were monitoring the current state of and availability in the market place of cost saving and performance-enhancing technologies. It was determined that there are no alternatives that would lead to greater customer service and satisfaction. In addition, it was determined that the CBFO WIPP WRA functions could not be performed better or cheaper through partnerships with other DOE offices, other agencies and/or the private sector.

   c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future:

2. Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts).

   a. What costs are included in the reported Cost/Schedule   Contractor Only
Performance information (Government Only/Contractor
Only/Both)?

Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date (mm/dd/yyyy)	Total Cost($M)	Completion Date (mm/dd/yyyy)	Total Cost($M)	Schedule (# days)	Cost($M)
1	Comparative Analysis	5/25/2005	$0.556000	5/27/2005	$0.556000	-2	$0.000000
2	Facility Compliance Readiness - NARA Facility Compliance package	9/30/2006	$2.846000	10/16/2006	$2.846000	-16	$0.000000
3	Implementation of Operational Procedures	4/4/2007	$0.580000	4/5/2007	$0.580000	-1	$0.000000
4	ERM Software Testing and Startup Reports	4/4/2007	$3.042000	4/5/2007	$3.042000	-1	$0.000000
5	Lessons Learned Report	9/28/2008	$0.510000	9/25/2008	$0.510000	3	$0.000000
6	Transition to Steady State	8/1/2008	$0.873000	8/1/2008	$0.873000	0	$0.000000
7	Implement 508 compliant features for web site	9/30/2008	$1.633000	9/30/2008	$1.633000	0	$0.000000
8	Perform Operational Analysis	9/30/2009	$1.000000	3/30/2009	$1.000000	184	$0.000000
9	Operate consolidated active and inactive records facility	9/30/2009	$2.500000		$0.500000		$2.000000
10	Migrate Imaging Software	9/30/2010	$3.500000				
11	Update web/public interface	9/30/2011	$3.500000				
12	Increase processing efficiency/security	9/30/2012	$3.500000				
13	Maintain and Operate Facility	9/30/2013	$3.500000				
Project Totals		**9/30/2013**	**$27.540000**	**3/30/2009**	**$11.540000**	**1645**	**$16.000000**

2.b Comparison of Plan vs. Actual Performance Table